

Attorney Docket No. 5308-311

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Gerald H. Negley et al.
Application Serial No.: 10/659,108
Filed: September 9, 2003

Confirmation No.: 4336
Group Art Unit: 2814
Examiner: Thao X. Le

Subject: SOLID METAL BLOCK MOUNTING SUBSTRATES FOR SEMICONDUCTOR
LIGHT EMITTING DEVICES

January 13, 2005

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. §1.97(c)**

Sir:

Attached is a list of documents on Form PTO-1449, together with a copy of any listed foreign patent document and/or non-patent literature. A copy of any listed U.S. patent and/or U.S. patent application publication is not provided herewith in accordance with the amendment by the U.S. Patent and Trademark Office to 37 C.F.R. § 1.98(a)(2)(ii) effective October 21, 2004. This Information Disclosure Statement is submitted in accordance with 37 C.F.R. § 1.97(c), before final Office Action or Allowance, whichever is earlier. It is requested that these documents be considered by the Examiner and officially made of record in accordance with the provisions of 37 C.F.R. § 1.56 and Section 609 of the MPEP.

In accordance with the requirements of 37 C.F.R. § 1.97(c)(2), a check for the \$180.00 fee specified in 37 C.F.R. § 1.17(p) is enclosed. This amount is believed to be correct. However, the Commissioner is authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-0220.

Respectfully submitted,


Mitchell S. Bigel
Registration No. 29,614

Myers Bigel Sibley & Sajovec, P.A.
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Susan E. Freedman

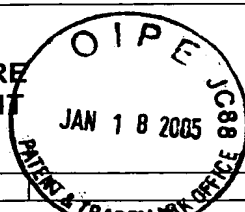
Date of Signature: January 13, 2005

01/21/2005 SSESHE1 00000046 10659108

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Substitute form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/659,108
		Filing Date	09/09/2003
		First Named Inventor	Gerald H. Negley
		Group Art Unit	2814
		Examiner Name	Thao X. Le
Sheet 1 of		Attorney Docket Number	5308-311



U.S. PATENTS AND PATENT PUBLICATIONS					
Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code (if known)		
	1.	US-6,744,077	B2	Trottier	06/01/2004
	2.	US-2004/0056260	A1	Slater, Jr. et al.	03/25/2004
	3.	US-2004/0041222	A1	Loh	03/04/2004
	4.	US-2003/0153861	A1	Royer	08/14/2003
	5.	US-6,066,861		Höhn et al.	05/23/2000
	6.	US-5,851,063		Doughty et al.	12/22/1998
		US-			

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T
		Office	Number	Kind Code (if known)			
	7.	WO	97/24706	A2/A3	Cree Research, Inc.	07/10/1997	
	8.	JP	2003-318448	A	Nichia Chem Ind. Ltd.	11/07/2003	

OTHER NON PATENT LITERATURE DOCUMENTS					T
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			
	9.	Andrews, <i>Methods for Packaging A Light Emitting Devices</i> , U.S. Serial No. 60/557,924, filed 03/31/2004			
	10.	Andrews, <i>Reflector Packages and Methods for Packaging of a Semiconductor Light Emitting Devices</i> , U.S. Serial No. 60/558,314, filed 03/31/2004			
	11.	Cabot Corporation, <i>Using Nanogel in Daylighting Systems</i> , retrieved 01/11/2005 from http://w1.cabot-corp.com/Controller.jsp?...			
	12.	Cree, Inc., <i>Cree Optoelectronics LED Product Line</i> , Publication CPR3AX, Rev. D, 2001-2002			
	13.	Negley et al., <i>Light Emitting Diode Arrays for Direct Backlighting of Liquid Crystal Displays</i> , U.S. Serial No. 11/022,332, Filed 12/23/2004			
	14.	Negley et al., <i>Methods of Coating Semiconductor Light Emitting Elements by Evaporating Solvent From a Suspension</i> , U.S. Serial No. 10/946,587, filed 09/21/2004			
	15.	Negley et al., <i>Transmissive Optical Elements Including Transparent Plastic Shell Having a Phosphor Dispersed Therein, and Methods of Fabricating Same</i> , U.S. Serial No. 10/659,240, filed 09/09/2003			
	16.	Negley, <i>Reflective Optical Elements for Semiconductor Light Emitting Devices</i> , U.S. Serial No. 10/898,608, filed 07/23/2004			
	17.	Negley, <i>Semiconductor Light Emitting Device Mounting Substrates and Packages Including Cavities and Cover Plates, and Methods of Packaging Same</i> , U.S. Serial No. 11/011,748, filed 12/14/2004			
	18.	Negley, <i>Semiconductor Light Emitting Devices Including Patternable Films Comprising Transparent Silicone and Phosphor, and Methods of Manufacturing Same</i> , U.S. Serial No. 10/947,704, filed 09/23/2004			
	19.	Negley, <i>Solid Metal Block Semiconductor Light Emitting Devices Mounting Substrates and Packages Including Cavities and Heat Sinks, and Methods of Packaging Same</i> , U.S. Serial No. 10/972,910, filed 10/25/2004			
	20.	Notification of Transmittal of The International Search Report and The Written Opinion of the International Searching Authority, or the Declaration, International Search Report and Written Opinion of the International Searching Authority, PCT/US2004/017325, 09/28/2004			

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Attorney Docket No. 5308-311

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Gerald H. Negley et al.
Application Serial No.: 10/659,108
Filed: September 9, 2003

Confirmation No.: 4336
Group Art Unit: 2811

For: SOLID METAL BLOCK MOUNTING SUBSTRATES FOR SEMICONDUCTOR
LIGHT EMITTING DEVICES, AND OXIDIZING METHODS FOR FABRICATING
SAME

February 24, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
PURSUANT TO 37 C.F.R. § 1.97(b)**

Sir:

Attached is a form PTO-1449, together with a copy of any listed foreign patent document and/or non-patent literature. A copy of any listed U.S. patent and/or U.S. patent application publication is not provided herewith in accordance with the waiver by the U.S. Patent and Trademark Office of requirements under 37 C.F.R. § 1.98(a)(2)(i) for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC § 371 after June 30, 2003. This Information Disclosure Statement is submitted in accordance with 37 C.F.R. § 1.97(b), within three months of the filing date of the above-referenced application or before the mailing of a first Office Action on the merits, whichever event occurs last. Therefore, no fee is believed due. However, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-0220.

Respectfully submitted,

Mitchell S. Bigel
Registration No. 29,614

Myers Bigel Sibley & Sajovec, P.A.
P. O. Box 37428, Raleigh, NC 27627
Telephone: (919) 854-1400
Facsimile: (919) 854-1401
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Susan E. Freedman

Date of Signature: February 24, 2004

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	10/659,108	
			Filing Date	09/09/2003	
			First Named Inventor	Gerald H. Negley	
			Group Art Unit		
			Examiner Name		
Sheet	2	of	2	Attorney Docket Number	5308-311

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T
		Office	Number	Kind Code (if known)			
	40	JP	2003-17755	A	Nichia Chem Ind Ltd.	01/17/2003	
	41	JP	2002-280616	A	Nichia Chem Ind Ltd.	09/27/2002	
	42	JP	2002-223004	A	Nichia Chem Ind Ltd.	08/09/2002	
	43	WO	02/059982	A1	Nichia Corporation	08/01/2002	
	44	JP	2002-158378	A	Nichia Chem Ind Ltd.	05/31/2002	
	45	JP	2002-118293	A	Nichia Chem Ind Ltd.	04/19/2002	
	46	JP	2001-230453	A	Nichia Chem Ind Ltd.	08/24/2001	
	47	JP	2001-144334	A	Nichia Chem Ind Ltd.	05/25/2001	
	48	JP	2001-77433	A	Nichia Chem Ind Ltd.	03/23/2001	
	49	JP	2001-77427	A	Nichia Chem Ind Ltd.	03/23/2001	
	50	JP	2000-286455	A	Nichia Chem Ind Ltd.	10/13/2000	
	51	JP	2000-286458	A	Nichia Chem Ind Ltd.	10/13/2000	
	52	JP	2000-183405	A	Nichia Chem Ind Ltd.	06/30/2000	
	53	JP	2000-174347	A	Nichia Chem Ind Ltd.	06/23/2000	
	54	JP	2000-101147	A	Nichia Chem Ind Ltd.	04/07/2000	
	55	JP	11-298047	A	Nichia Chem Ind Ltd.	10/29/1999	
	56	JP	11-261114	A	Nichia Chem Ind Ltd.	09/24/1999	
	57	JP	10-242513	A	Nichia Chem Ind Ltd.	09/11/1998	
	58	JP	9-246603	A	Nichia Chem Ind Ltd.	09/19/1997	
	59	JP	8-162676	A	Nichia Chem Ind Ltd.	06/21/1996	
	60	JP	6-244458	A	Nichia Chem Ind Ltd.	09/02/1994	
	61	JP	6-177429	A	Nichia Chem Ind Ltd.	06/24/1994	
	62	JP	6-151974	A	Nichia Chem Ind Ltd.	05/31/1994	
	63	JP	5-152609	A	Nichia Chem Ind Ltd.	06/18/1993	

OTHER NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T
	64	Craford, <i>Overview of Device Issues in High-Brightness Light-Emitting Diodes</i> , Chapter, <u>High Brightness Light Emitting Diodes: Semiconductors and Semimetals</u> , Vol. 48, Stringfellow et al. ed., Academic Press, 1997, pp. 47-63	
	65	Loh, <i>Power Surface Mount Light Emitting Die Package</i> , USSN 10/446,532, 05/27/2003	
	66	Slater, Jr. et al., <i>Phosphor-Coated Light Emitting Diodes Including Tapered Sidewalls and Fabrication Methods Therefor</i> , USSN 60/411,980, 09/19/2002	

Examiner Signature	Date Considered
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Complete if Known

Application Number	10/659,108
Filing Date	09/09/2003
First Named Inventor	Gerald H. Negley
Group Art Unit	2811
Examiner Name	
Attorney Docket Number	5308-311

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Attorney Docket Number

5308-311

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OTHER NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T
	6.	International Search Report, PCT/US03/27912, 01/30/2004	

Date Considered _____

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

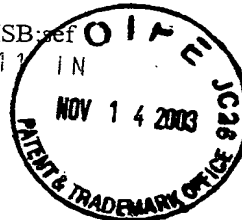


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5308-311
November 11, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450



Sir: Kindly acknowledge receipt of the accompanying by placing your receiving date stamp hereon and mailing:

Information Disclosure Statement, Form PTO-1449 and 27 of 66 references cited; In re:
Gerald H. Negley et al.; Serial No. 10/659,108; Filed September 9, 2003; For:
**SOLID METAL BLOCK MOUNTING SUBSTRATES FOR
SEMICONDUCTOR LIGHT EMITTING DEVICES, AND OXIDIZING
METHODS FOR FABRICATING SAME**

Respectfully submitted,
MYERS BIGEL SIBLEY & SAJOVEC